

防止洗黑錢活動問卷
Anti-money Laundering (AML) Questionnaire

I. 請提供 貴機構的業務

Please provide the following details of your business:

1. 您所在機構的資料 Your institution's information	
您所在機構的名字 Financial Institution Name:	
地點 Location:	
網站地址 Website Address:	
您所在機構的業務 Please describe your primary line of business:	
如適用，在那證券交易所上市 If applicable, name of stock exchange listed on:	股票代碼 Stock symbol:
負責 AML 的高級管理人員姓名 Name of senior officer responsible for AML:	
職位 Title:	電子郵件地址 Email Address:
	電話號碼(包括國家和地區代碼) Telephone Number (including country and area code):
2. 所有權和管理資料 Ownership and Management Information	
提供擁有或控制貴公司超過 10% 股權之個人或法人或組織實體的名字，用百分比說明各股東的持股量： Name of persons or any legal or organizational entity who owns or controls more than 10% of the shares in your good institution, with percentages indicated for each shareholder:	
目前董事會的董事及高級管理人員名單： Current list of your good Institution's Board of Directors and senior management:	

3. 監管資料 Regulatory Information
在 貴國的銀行業監管機構名稱 Name of the banking supervisory authority in your country:
反洗錢和/或反恐怖融資(“AML”) 的監管機構名稱: Name of your anti-money laundering and/or anti-terrorist financing (“AML”) regulatory authority:

II. 防止洗黑錢活動問卷 (如沒有回答，請提供註釋)

Anti-money Laundering Questionnaire (Please provide comments on any no responses) :

A. 一般反洗錢的政策, 措施和程序 General AML Policies, Practices and Procedures		
1	貴機構的董事會或高級委員會是否就其反洗錢合規程序需要審批? Does the AML Compliance program require approval of your institution's Board or a senior committee thereof?	是 / 否 Yes / No
2	貴機構的法律和法規遵從性計劃，其中包括指定合規官，負責協調和監督每天的反洗錢程序，是否已獲得貴機構的高級管理人員批准? Does your institution have a legal and regulatory compliance program that includes a designated Compliance officer that is responsible for coordinating and overseeing the AML program on a day-to-day basis that has been approved by senior management of the your institution?	是 / 否 Yes / No
3	貴機構制定的政策，是否由高級管理層批准、記錄，以防止檢測和報告可疑交易? Has your institution developed written policies, approved by senior management, documenting the processes that you have in place to prevent, detect and report suspicious transactions?	是 / 否 Yes / No
4	貴機構制定的反洗錢政策和程序，是否符合目前金融行動特別工作組(FATF) 制定的建議? Do your AML policies and procedures meet the current recommendations developed by the Financial Action Task Force (“FATF”)?	是 / 否 Yes / No
5	除了由政府主管/監管機構檢查之外，貴機構的內部審計職能或其他獨立第三方是否有定期評估反洗錢政策和做法? In addition to inspections by the government supervisors/regulators, does your institution have an internal audit function or other independent third party that assesses AML policies and practices on a regular basis?	是 / 否 Yes / No
6	貴機構是否有政策禁止與空殼銀行賬戶之關係(空殼銀行被定義為在它沒有實際存在和它的司法管轄區註冊成立的銀行附屬於受監管金融集團)? Does your institution have a policy prohibiting accounts/relationships with shell banks (a shell bank is defined as a bank incorporated in a jurisdiction in which it has no physical presence and which is unaffiliated with a regulated financial group)?	是 / 否 Yes / No
7	貴機構是否有根據相關記錄保存程序之法律? Does your institution have appropriate record retention procedures pursuant to applicable law?	是 / 否 Yes / No
8	貴機構之反洗錢政策和做法是否適用於所有國內外之所有分支機構? Does your institution require that your AML policies and practices be applied to all branches and subsidiaries of your institution both in the home country and in locations outside of the home country?	是 / 否 Yes / No
9	貴機構是否符合反洗錢/反恐融資立法的機構在其所之管轄? Is your institution in compliance with anti-money laundering/anti-terrorist financing legislation in its own jurisdiction?	是 / 否 Yes / No

B. 風險評估 Risk Assessment		
1	貴機構是否有為您的客戶群作風險評估和交易? Does your institution have a risk-focused assessment of your customer base and transactions of your customers?	是 / 否 Yes / No
2	如果貴機構有理由相信在提出或通過貴機構的非法交易活動加劇風險，貴機構是否確定有加強盡職調查這些類別的客戶和交易之需要? Does your institution determine the appropriate level of enhanced due diligence necessary for those categories of customers and transactions that your institution has reason to believe pose a heightened risk of illicit activities at or through your institution?	是 / 否 Yes / No
C. 了解你的客戶，盡職調查和加強盡職調查 Know Your Customer, Due Diligence and Enhanced Due Diligence		
1	貴機構是否有系統用於識別你的客戶，其中包括交易記錄的情況下，客戶資料、開戶等（例如：姓名，國籍，住址，電話號碼，職業，年齡/出生日期，數量和類型的有效的正式身份，以及該國/州或省簽發的名字）？ Has your institution implemented systems for the identification of your customers, including customer information in the case of recorded transactions, account opening, etc. (for example: name, nationality, street address, telephone number, occupation, age/date of birth, number and type of valid official identification, as well as the name of the country/state or province that issued it)?	是 / 否 Yes / No
2	貴機構是否有要求收集有關客戶的業務活動資料？ Does your institution have a requirement to collect information regarding your customers' business activities?	是 / 否 Yes / No
3	貴機構是否收集客戶的反洗錢政策或做法資料作評估之用？ Does your institution collect information and assess your customers' AML policies or practices?	是 / 否 Yes / No
4	貴機構是否根據客戶的風險評估去了解客戶的正常及預期交易？ Does your institution take steps to understand the normal and expected transactions of your customers based on your risk assessment of your customers?	是 / 否 Yes / No
D. 申報交易，防止及偵查與非法取得的資金交易 Reportable Transactions and Prevention and Detection of Transactions with Illegally Obtained Funds		
1	貴機構是否有上報主管部門的鑑定和報告的政策或做法？ Does your institution have policies or practices for the identification and reporting of transactions that are required to be reported to the authorities?	是 / 否 Yes / No
2	貴機構是否有確定程序以避免要求大額現金交易報告？ Does your institution have procedures to identify transactions structured to avoid large cash reporting requirements?	是 / 否 Yes / No
3	貴機構是否有特別注意成為顯著高風險的屏幕交易的客戶或交易的機構(可能包括那些包含在由政府/國際機構發布的名單個人，實體或國家)以防止完成任何此類該交易？ Does your institution screen transactions for customers or transactions your institution deems to be of significantly high risk (which may include persons, entities or countries that are contained on lists issued by governments/international bodies) that special attention to such customers or transactions is necessary prior to completing any such transactions?	是 / 否 Yes / No
4	貴機構是否有政策保證不會或代空殼銀行通過其任何帳戶或產品進行交易(空殼銀行被定義為在一個司法管轄區註冊成立的銀行中，它沒有實際存在，哪些是附屬於受監管金融集團)？ Does your institution have policies to reasonably ensure that you will not conduct transactions with or on behalf of shell banks through any of its accounts or products (a shell bank is defined as a bank incorporated in a jurisdiction in which it has no physical presence and which is unaffiliated with a regulated financial group)?	是 / 否 Yes / No

5	貴機構是否有政策確保貴機構只與代理行在原籍國是擁有經營運作執照? Does your institution have policies to reasonably ensure that you only operate with correspondent banks that possess licenses to operate in your countries of origin?	是 / 否 Yes / No
E. 交易監控 Transaction Monitoring		
1	貴機構是否有一個監控可疑或異常轉賬和貨幣工具(如旅行支票, 匯票, T/T 等)程序活動? Does your institution have a monitoring program for suspicious or unusual activity that covers funds transfers and monetary instruments (such as travelers cheques, money orders, T/T, etc.)?	是 / 否 Yes / No
F. 反洗錢培訓 AML Training		
1	貴機構是否有提供反洗錢培訓給與相關員工, 其中包括識別和報告交易, 必須報政府主管部門, 不同形式的洗錢涉及您的機構的產品和服務, 以及內部政策的例子? Does your institution provide AML training to relevant employees that include identification and reporting of transactions that must be reported to government authorities, examples of different forms of money laundering involving your institution's products and services and internal policies?	是 / 否 Yes / No
2	貴機構是否有保留其培訓課程的記錄, 包括所使用的考勤記錄和相關培訓資料? Does your institution retain records of its training sessions including attendance records and relevant training materials used?	是 / 否 Yes / No
3	貴機構是否有政策去宣傳新的反洗錢相關法律或更改現有的反洗錢相關政策或做法給與相關員工? Does your institution have policies to communicate new AML related laws or changes to existing AML related policies or practices to relevant employees?	是 / 否 Yes / No
4	如果貴機構僱用代理人來進行你的一些機構的職能, 貴機構是否有提供反洗錢培訓給與相關的代理商, 其中包括識別和報告交易, 必須報政府主管部門, 不同形式的洗錢涉及您的機構的產品和服務, 內部政策, 以防止洗錢等? Does your institution employ agents to carry out some of the functions of your institution and if so does your institution provide AML training to relevant agents that includes identification and reporting of transactions that must be reported to government authorities, examples of different forms of money laundering involving your institution's products and services and internal policies to prevent money laundering?	是 / 否 Yes / No

III. 認證 Certification:

本人/吾等在此聲明並保證以蜂投證券有限公司, 這反洗錢活動問卷是正確和準確的。本人/吾等同意要及時通知蜂投證券有限公司就上述資料的任何變動, 並提供補充資料, 蜂投證券有限公司可能需要。

I/We hereby represent and warrant to Beevest Securities Limited that this Anti-Money Laundering certificate is correct and accurate. I/We agree to promptly notify Beevest Securities Limited of any change with respect to the foregoing information, and to provide such further information as Beevest Securities Limited may require.

簽署 Signature:

姓名 Name:

職位 Title:

電話號碼 Telephone Number:

傳真號碼 Fax Number:

電子郵件地址 E-Mail Address:

x

日期 Date:

註: 英文本與中文本如有任何歧異之處, 概以英文為準。

Note: In the event that there is inconsistency between the English version and the Chinese version of this authority, the English version shall prevail.